



HINDUSTAN
TRADECOM

Client Registration Form

INDIVIDUALS

Member: NSE BSE DP-CDSL NCDEX MCX

Name of the Client/Applicant : _____

DP ID :

1	2	0	6	5	0	0	0	0	0						
---	---	---	---	---	---	---	---	---	---	--	--	--	--	--	--

Client Code No.: _____

AP Code : _____ Ref. By _____

KYC Ref. No. : _____ KYC Reg. No. _____

ONLINE ☐ OFFLINE ☐ FORM NO. :

Financial Solutions
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INDEX OF DOCUMENTS

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3.	Policies & Procedures	Document describing significant policies and procedures of the stock broker	SEPARATE COPY FOR CLIENT
4.	Rights & Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub broker/Authorized Person and client for trading on equity and commodity exchanges (including additional rights & obligations incase of internet/wireless technology based trading).	
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities & commodities market.	
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Name of stock broker/trading member/clearing member: HINDUSTAN TRADECOM PRIVATE LIMITED

SEBI Registration No. and Date: INZ000156539 / 18-09-2017

Regd./Corresponding Office Address: 402/101, Royal World, Sansar Chandra Road, Jaipur-302001

Ph.: 0141-4069600/4069615, **Fax:** 0141-4069606, **Website:** www.htplonline.com

Compliance Officer: Yuvraj Kanoongo (M) 9001747474, yuvraj@htplonline.com

CEO: Tara Chand Kanoongo (M) 9829010071, info@htplonline.com

For any grievance/dispute please contact: Hindustan TradeCom Pvt. Ltd. at the above address or e-mail at: ig@htplonline.com or call on: +91-9928312000.

In absence of response/complaint not addressed to your satisfaction- You may lodge a complaint with SEBI at <https://scores.sebi.gov.in>

In case not satisfied with the response, please contact the concerned exchanges at:

ignse@nse.co.in	ig@ncdex.com	ig-mcx@mcxindia.com	is@bseindia.com
18002660050	022-66406789	022-67318888	022-45720400

**Know Your Client (KYC)****Application Form (For Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also

**CDSL VENTURES LIMITED**

....Exploring New Horizons

Intermediary
Logo

Application Number:

Application Type*: ☐ New KYC ☐ Modification KYC

KYC Mode*: Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker**1. Identity Details (please refer guidelines overleaf)**

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* ☐ Male ☐ Female ☐ TransgenderMarital Status* ☐ Single ☐ MarriedNationality* ☐ Indian ☐ Other _____Residential Status* ☐ Resident Individual ☐ Non Resident IndianPlease Tick (✓) ☐ Foreign National ☐ Person of Indian Origin+

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)

Recent passport size
Applicant Photo

(\$1) Cross Signature across photograph

Signature of Client

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX _____ (Expiry Date) _____☐ B — Passport Number _____ (Expiry Date) _____☐ C — Voter ID Card _____ (Expiry Date) _____☐ D — Driving License _____ (Expiry Date) _____☐ E — NREGA Job Card _____☐ F — NPR _____☐ Z — Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)**A. Correspondence/ Local Address***

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Applicant e.SIGN

**B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)**

Line 1*

Line 2

Line 3

City/

Town/Village*

District*

Pin Code*

State*

Country*

Address Type*

☐

Residential/Business

☐

Residential

☐

Business

☐

Registered Office

☐

Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)☐

A — Aadhaar Card

XXXX XXXX

☐

B — Passport Number

(Expiry Date)

☐

C — Voter ID Card

☐

D — Driving License

(Expiry Date)

☐

E — NREGA Job Card

☐

F — NPR Letter

☐

Z—Others

(any document notified by Central Government)

Identification Number

3. Contact Details (in CAPITAL)

Email ID*

Mobile No. *

Tel (Off)

Tel (Res)

4. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE: (DD_MM_YYYY)

PLACE:

Applicant e SIGN

Applicant Wet Signature

(S2)

Signature of Client

5. For Office Use Only

In Person Verification (IPV) carried out by*

Intermediary Details*

IPV Date

Emp. Name

Emp. Code

Emp. Designation

☐

Self certified document copies received (OVD)

☐

True Copies of documents received (Attested)

AMC / Intermediary Name :

Employee Signature and Stamp

Institution Name and Stamp



HINDUSTAN
TRADECOM PVT. LTD.

Additional KYC For Trading & Demat Account

101, Royal World, Sansar Chandra Road, Jaipur-302001
Phone : +91-141-4069600-630 Fax : 0141-4069606
E-mail : info@htplonline.com

☐ I/we request you to open a ☐ trading ☐ Demat Account

Application No.

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

[illegible]

A. TYPE OF ACCOUNT INDIVIDUAL (Please tick whichever is applicable)

☐ Resident ☐ Promoter ☐ Margin ☐ Minor ☐ NRI (Type: _____) ☐ OTHERS (SPECIFY)_____

B. DETAILS OF ACCOUNT HOLDERS (In Case of Partnership, the account would be in the name of partner)

Holder's Details

[illegible]

C. STANDING INSTRUCTIONS

Sr. No.	Authorisations	Please <input checked="" type="checkbox"/> Relevant
1.	Consent to receive standard account opening documents in electronic form	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Consent to receive credits automatically into my/our Account. (If not ticked, the default option would be "Yes")	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Account to be operated through power of attorney (POA)	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Consent to send Electronic Transaction-cum-Holding Statement at Sole/First Holder's email id stated in the KYC	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	Consent to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	Consent to avail of the facility of internet trading / wireless technology	<input type="checkbox"/> Yes <input type="checkbox"/> No
7.	Mode of receiving Annual Reports & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Demat Account)	
8.	Mode of receiving Contract Notes & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Trading Account)	
9.	Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
10.	Consent to receive dividend/interest directly into bank account given below through ECS (If not ticked, the default option would be "Yes")	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.	Accept all the pledge instruction in my / our account without any further instruction from my / our side. <input type="checkbox"/> Yes <input type="checkbox"/> No	

D. BANK ACCOUNT DETAILS

Default Bank (Through which payout transactions would be generally routed)	Additional Bank
Name & Address : _____	Name & Address : _____
Account No. <input type="text"/>	Account No. <input type="text"/>
Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____	Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____
MICR Code <input type="text"/>	MICR Code <input type="text"/>
IFSC Code <input type="text"/>	IFSC Code <input type="text"/>

E. DEPOSITORY ACCOUNT DETAILS (Transactions would be generally routed through the below demat account.) (Default for Payout)

Depository : NSDL ☐ CDSL ☐ DP Name:

Beneficiary Name: _____ DP ID :

--	--	--	--	--	--	--	--

 BO ID:

--	--	--	--	--	--	--	--

F. INVESTMENT/TRADING EXPERIENCE & PREFERENCE

☐ No Prior Investment Experience Years in Equities Years In Derivatives Years in other Investment Related Field

G. STOCK EXCHANGES ON WHICH YOU WISH TO TRADE

Exchanges	NSE, BSE			MCX, NCDEX, BSE & NSE
All Segments	Cash	F&O	Currency	COMMODITY
(S3) ✓	(S4) ✓	(S5) ✓	(S6) ✓	(S7) ✓
Signature of Client	Signature of Client	Signature of Client <small>I have knowledge of trading in derivatives segment and am aware of risks associated therein.</small>	Signature of Client <small>I have knowledge of trading in currency derivatives segment and am aware of risks associated therein.</small>	Signature of Client <small>I have knowledge of trading in derivatives segment and am aware of risks associated therein.</small>

If you do not wish to trade in any segments / Mutual Fund, Please mention here



HINDUSTAN TRADECOM PVT. LTD.

1. Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off / mentioned as NA.
2. In future, if you need to trade in any additional Segment/Exchange, not opted above, separate authorisation letter will be required.
3. In case of trading in Derivatives it is compulsory to submit proof of Financial Details.

Details of any action/proceedings initiated /pending/taken by SEBI/Stock Exchange/any other authority against the Client during the last 3 years for violation of securities law/other economic offences (including action taken against relatives/associates) _____

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Gross Income Range Per Annum (Rs. in Lakhs)	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr
Networth : (should not be older than 1 year)	Amount (Rs.) _____ As on date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Amount (Rs.) _____ As on date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Amount (Rs.) _____ As on date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Other (Specify) _____
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)		
Any other information :	_____		
Details in case of Employed/ Business/Professional (Name of Employer/Establishment & Address & Nature of Business)	Name & Add. : _____ Nature : _____	Name & Add. : _____ Nature : _____	Name & Add. : _____ Nature : _____
Additional Details, if applicable. (Please tick one or more as applicable)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Former MP, MLA or MLC <input type="checkbox"/> Current/Former Head of State <input type="checkbox"/> Not PEP / Related to PEP	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Former MP, MLA or MLC <input type="checkbox"/> Current/Former Head of State <input type="checkbox"/> Not PEP / Related to PEP	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Former MP, MLA or MLC <input type="checkbox"/> Current/Former Head of State <input type="checkbox"/> Not PEP / Related to PEP
Any other information	_____		
Mobile Number Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	I hereby declare that the Mobile number as per KRA KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) _____ <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	I hereby declare that the Mobile number as per KRA KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) _____ <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	I hereby declare that the Mobile number as per KRA KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) _____ <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No
Email ID Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	I hereby declare that the Email ID as per KRA KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) _____ <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN _____	I hereby declare that the Email ID as per KRA KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) _____ <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN _____	I hereby declare that the Email ID as per KRA KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) _____ <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Family PAN _____
FATCA Declaration	_____		
Is your Tax Residency/Country of Birth/Citizenship/Nationality other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____
If yes, please indicate all countries in which you are resident for tax purpose and the associated Tax ID number below:			
Country of Tax Residency#	_____	_____	_____
Tax Identification Number* Identification Type	_____	_____	_____
Country of Tax Residency#	_____	_____	_____
Tax Identification Number* Identification Type	_____	_____	_____

#To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries especially of USA.
*In case tax identification number is not available, kindly provide its functional equivalent

H. INTRODUCER DETAILS (Optional)

Name & Address of the Introducer: _____

Status of the Introducer: Sub-broker/ Remisier/ Authorised Person/ Existing Client/ Director or Employee of Trading Member/ any other Person (Please Specify) _____ Mobile No. / Tel. No. :

Proof of Identity (POI) : ☐ PAN No. ☐ Passport No. ☐ Driving Licence ☐ Voter ID

I. Details of Guardian (In case the account holder in minor)

Guardian's Name	_____	PAN	_____
Relationship with Applicant	_____		

Signature: _____



Annexure - A

(SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650, dated January 10, 2025)

Nomination Form for Demat Accounts and Mutual Fund (MF) Folios

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *								
Nomination Details								
	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.o.B. of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

* Joint Accounts:

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (See table in 'Transmission aspects').

*** Provide only number: PAN or Driving License or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the AMC / DP as follows; (please tick, as appropriate)

- ☐ Name of nominee(s) ☐ Nomination: Yes / No

2) I hereby authorize _____ (nominee number) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ___% of assets in the account / folio or Rs. _____. (Optional)
(strike off portions that are not relevant)



- 3) This nomination shall supersede any prior nomination made by me / us, if any.
- 4) Signature(s) – As per the mode of holding in demat account(s) / MF folio(s)

Name(s) of holder(s)		Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable)*
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

* Signature of two witness (es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account / folio, in case of your physical incapacitation, at any point of time and not just during opening of account / folio. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.
 - 'Either or Survivor' Folios / Accounts - any one of the holder can sign
 - 'First holder' Folios / Accounts - only First holder can sign
 - 'Jointly' Folios / Accounts - all holders have to sign

Transmission aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updating of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address (es), mobile number(s), email address (es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.



- In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%



Annexure-B

Declaration for opting-out of nomination

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

Name and Signature of Holder(s)*

1. _____ 2. _____ 3. _____

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.



Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

[SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.



HINDUSTAN TRADECOM PVT. LTD.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

BOID

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name

:

Second Holder's Name

:

Third Holder's Name

:

Mobile Number on which
messages are to be sent


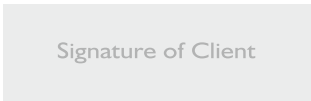


+91																			
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

Email ID: _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

	Sole / First Holder	Second Holder	Third Holder
SIGNATURE	(S11)  		

Place: _____

Date: _____

**Tariff for Individual & Corporate Account (For CDSL)**




Charges Description	General AMC	LIFE TIME AMC For Individual / Huf	BSDA
Account Opening & Closing	Nil	Nil	Nil
Annual Maintenance	For Individual - Rs.250 /- Corporate Rs. 1000/-	For Individual /Huf Only Rs.1000 /-	Nil (For valuation below Rs. 400000/-) Rs.100/- (For valuation more than 4 lac but upto 10 lacs)
Transaction (Debit)	0.004% of Value or Rs.15/- whichever is higher Subject to Max 300/-Rs. Per Instruction	0.004% of Value or Rs.15/- whichever is higher Subject to Max 300/-Rs. Per Instruction	0.004% of Value or Rs. 30/- whichever is higher Subject to Max 300/-Rs. Per Instruction
Purchase (Market and Off Market)	Nil	Nil	Nil
Freeze & Unfreeze	Rs.50/- Each	Rs.50/-	Rs.50/-
Postage per Demat Request (Maximum 9 Certificate)	Rs.50/- Each	Rs.50/-	Rs.50/-
Dematerialization	Rs.25 per Certificate	Rs.25 per Certificate	Rs.25 per Certificate
Rematerialization	Rs.25 per request	Rs.25 per request	Rs.25 per request
Pledge Creation/Closure/Invocation	0.003% of Value (Min.Rs.25/-)	0.003% of Value (Min.Rs.25/-)	0.003% of Value (Min.Rs.25/-)
Rejection charges - DRF & Instruction Slip	Rs.15	Rs.15	Rs.15
Additional statement (other than free Monthly)	Rs.15/- per statement	Rs.15/- per statement	Rs.15/- per statement
DIS book other than First	Rs.40 per Book of 10 Leaves	Rs.40 per Book of 10 Leaves	Rs.40 per Book of 10 Leaves

General Clauses:

- A/c Defreeze charges Rs.50 per request.
- Hindustan Tradecom Pvt Ltd reserves the right to revise the tariff structure by giving 30 days notice.
- Value of transaction will be in accordance with the rates to be provided by CDSL
- In case of delay in the payment of charges ,the Demat account will be frozen all operation till such time all dues are cleared subject to 30 days notice on the payment due date.
- Out of pocket expenses incurred dispatch of securities for Dematerialization and communication charges incurred on out station call /faxes made specifically on request of client will be charged on actual basis.
- Modification in Client master Rs.40Extra per Instance.

Other Terms

- Free Access to on line depository Back office.
- Transaction and Holding statement will be sent digitally.
- Late/same day Instruction are accepted at clients Risk.
- Any services not quoted above will be charged separately.
- All Statutory and CDSL charges will be levied as applicable from time to time.
- Fees scheduled is based on Existing CDSL Charges and is subjected to change at the sole discretion of Hindustan Tradecom Pvt. Ltd.
- Payments through cheque /DD should be in favour of Hindustan Tradecom Pvt. Ltd. Payable at Jaipur
- The BO unconditionally authorise Hindustan Tradecom Pvt. Ltd. And has no objection in charging the depository services bill to his /its under mentioned trading accounts / Trading code maintained with the stock broker
- In case of nonpayment of bills dues within 15 days of due date interest shall be charged @ 1.5% p.m. On the outstanding dues or Rs 25/- Minimum whichever is Higher.
- The depository services are liable to be discontinued on such default.
- The general charges for resuming the services will be Rs.100 per instance.
- Life time AMC here means 10 Years
- As per sebi guidelines all individual demat account will be opened in BSDA unless rejected by depository
- If BSDA is rejected then client has to opt for other scheme of AMC

	Sole / First Holder	Second Holder	Third Holder
SIGNATURE	(S12)  Signature of Client		



HINDUSTAN TRADECOM PVT. LTD.

M. BROKERAGE STRUCTURE

	Capital Market		F & O					Currency				
	%	Min (Paissa)	FUTURE			OPTION		FUTURE			OPTION	
			%	Min (Paissa)	Min (Lot)	%	Min (Lot)	%	Min (Paissa)	Min (Lot)	%	Min (Lot)
Intraday												
Delivery												
Other Charges												

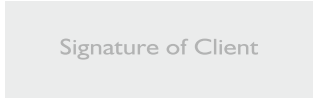


COMMODITY

EXCHANGE	BROKERAGE ON TURN OVER %	DELIVERY BROKERAGE	OTHER CHARGES
MCX			
NCDEX			

Note : All Statutory and Exchange Charge will be levied as applicable from time to time. In case of Physical Contract note are being dispatched to client, a difference of Rs. 25/- per in total brokerage booked on a particular date would be charged towards minimum processing fee.

DECLARATION

- I/we hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case of any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I may be held liable for it.
- I/we confirm having read, explained and understood the contents of policies and procedures, terms & conditions governing Stock Broker, Risk Disclosure Documents & Do's & Don't's for trading on the Exchanges, Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants & the tariff sheet, as available on the website of the company. I am further aware that a copy of terms & conditions governing Stock Broker, Risk Disclosure Document, Do's & Don't's for trading on the Exchanges and Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants will be received by me/us in electronic form on the email ID provided by me / us in the KYC Document.
- I/we have read and agreed to be bound by the Rules, Regulations, bye laws, circulars and guidelines issued by SEBI, Exchanges, Stock Broker, AMFI, Mutual Funds, Depository and Depository Participant pertaining to my trading and demat account, as are in force from time to time.
- I/We understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CBDT or close or suspend my account.
- I/we confirm having read and understood the guidelines pertaining to BSDA and is eligible to open a depository account as a BSDA holder. I will comply with the said guidelines and that in case my/our Demat Account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to Regular Demat Account without further reference to me / us and will be levied charges as applicable to regular accounts (applicable only if consented for BSDA facility).
- I, the holder of Aadhaar number as mentioned in the KYC, hereby agree & give my consent to Hindustan Tradecom Pvt. Ltd. to obtain my Aadhaar number, Name and Fingerprint/ Iris for authentication with UIDAI. Hindustan Tradecom Pvt. Ltd. has informed me that my identity information would only be used for Account Opening purpose and also informed that my biometrics will not be stored / shared and will be submitted to CIDR only for the purpose of authentication.

	Name(s) of holder(s)/client	Specimen Signature of holder(s)/client
Sole/First Holder/Guardian		(S13) 
Second Holder		
Third Holder		

Date: _____

Place: _____

Disclosure Information (For Hindustan Tradecom Pvt. Ltd.)

This is to inform you that we do client based trading and Pro-account trading in National Stock Exchange of India Ltd.(NSE)/BSE Ltd. (BSE) / ICEX / NCDEX / MCX.

**CLIENT DECLARATION****A. CLIENT DECLARATION - OPEN INTEREST POSITION:**

I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I / We hereby declare and undertake that I / we will not exceed the position limits prescribed from time to time by Commodity Exchanges or Forward Markets Commission and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time.

I/We undertake to inform you and keep you informed if I / any of our partners / directors / karta / trustee or any of the partnership firms/companies / HUFs / Trusts in which I or any of above such person is

a partner / director / karta / trustee, takes or holds any position in any commodity forward contract / commodity derivative on Exchanges through or through any other member (s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time.

I / We confirm that you have agreed to enter order in commodity forward contracts / commodity derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking.

I/We further undertake to bear any liable/penalty/charges levied by Commodity Exchanges / SEBI.

Signature:

(S14)

B. CONSENT TO INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY):

I / We request you to maintain my/our accounts for funds on running accounts basis instead of 'bill to bill' settlement basis, unless I/we specifically request you for a payout of available free funds in the account. You may settle the accounts at

**Monthly
Quarterly**

or at such other intervals as SEBI/ Exchanges may specify from time to time. I / We further authorize you to retain funds as may be permitted by Exchanges/SEBI from time to time or towards other unbilled services and/or charges applicable on my account, while settling the accounts.

I / We

understand and agree that no interest will be payable on the amount of funds retained by you as above. I / We agree that HTL shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such funds. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

Signature:

(S15)

C. CONSENT FOR ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION (VOLUNTARY):

I, _____, Client Code _____, PAN _____, registered with you as a client of Multi Commodity Exchange of India Ltd (MCX), and/or National Commodity & Derivative Exchange Ltd (NCDEX), NSE, BSE undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am Voluntarily requesting for delivery of electronic contract note pertaining to all trades carried out/ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is _____ (the email id must be written in own handwriting). This has been Created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

[The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]

Signature:

(S16)

**ADDITIONAL - VOLUNTARY TERMS AND CONDITIONS (EQUITY & COMMODITY)**

Whereas the client intends to open securities / commodities trading accounts with Hindustan Tradecom Pvt. Ltd., (hereinafter referred as HTL) for the purpose of trading in Capital Market Segment, Futures & Options and Currency Derivative Segments and Commodities Futures & Options of the National Stock Exchange of India Ltd., BSE Ltd.

Multi Commodity Exchange, National Commodity & Derivatives Exchange Limited and Mutual Fund transactions Facilities offered by Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by HTL and also the additional services that may be made available by HTL from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e., non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. **Authorization to debit additional charges with regard to Trading and Demat Account:** Without prejudice to the other rights and obligations of the parties, the client understands and agrees that HTL may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account / Counter Demat account for any service rendered by HTL and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with HTL.
2. **Lien:** All securities, commodities funds and/or properties (Any assets available with HTL) of the Client as may be permitted by the Exchange(s) from time to time to be placed with HTL shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of HTL. HTL shall be entitled to withhold such securities, commodities, funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, commodities, funds or properties at its sole discretion & at any point of time, without notice to client.
3. **Authorization for delivering / pledging shares:** The client understands and agrees that HTL may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligations in respect of securities sold by the client or pledge the same with the clearing house of the recognized stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of HTL to enforce, at its option, the collateral security in the securities to recover the debit balance at any time.
4. **Authorization for Inter segment fund balance transfer and stock transfers:** The client hereby authorizes HTL to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment including commodities segment to its ledger account in any other segment including commodities segment or to transfer any stock purchased/lying in its account in any segment including commodities segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of HTL.
5. **Disclaimer:** The Client understands and agrees that neither HTL nor any other party disseminating any market data, message or information

through the Website of HTL or in any other media shall be liable for:

- (a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
 - (b) **Any loss or damage arising from or occasioned by** (i) Any such inaccuracy, error, delay or omission, (ii) Non-performance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by HTL or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labor dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of HTL or any disseminating party.
6. **Manner/Mode of placing orders/instructions & Non-execution/delay/cancellation of Orders:** The Client may communicate orders and other instructions to HTL or the sub-broker/authorized person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. The client hereby agrees that HTL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading beyond the control of HTL or the Exchange.
 7. **Client not to act on representations of agents, employees:** Client is aware that HTL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of HTL.
 8. **Recording of Conversation:** The client is aware and agrees that HTL may tape record the conversation between the client/client's representative and HTL, whether over the telephone or in person, as per applicable laws, rules and regulations of SEBI / Exchanges. HTL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.
 9. **Confidentiality of Client Details:** HTL may disclose the client information to any person /entity as required under the law or to any broker's Association or organizations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by HTL to any person or entity including but not limited to any independent third parties or any entities of HTL Group, whether within or outside India, of any information and data relating to Client or relating to Client's trading account with HTL for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.
 10. **Disclosure as to Proprietary Trades by HTL:** HTL may carry out proprietary trades in addition to trades on behalf of its Clients.
 11. **Severance:** In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
 12. **No Waiver:** No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver



of any rights, unless the waiver is specifically agreed in writing.

13. Notices: All notices or communications issued by HTL shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:

13.1 (a) By ordinary post or (b) By registered post or (c) By express delivery post or (d) by SMS on registered mobile or by telephonic call or (e) By affixing it on the door at the last known business or residential address or (f) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (g) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (h) By publishing it on the website of HTL wherein secured log-id and password to Client is provided or (i) By a notice posted on the notice board of the Exchange if no address be known or (j) By electronic mail or fax or (k) By hand delivery or By Courier or any other approved mode as may be allowed for communication.

13.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between HTL and the Client may be made orally.

14. Electronic Contract Note (ECN):

14.1 Client agree to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing HTL in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent.

14.2 The Client shall access and verify the ECN and all information contained therein. In case of discrepancy the Client, shall inform HTL either in writing or via E-mail within reasonable time of the receipt of the same. HTL shall also publish the Contract Note on the Web site www.htlonline.com or on any other designated location specified by HTL from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, HTL may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advise HTL of such a difficulty shall amount to valid delivery and viewing of the document by the Client.

15. Electronic Transmission of other Documents: The Client who have opted for ECN agrees that HTL may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices / communications document mandated by SEBI/Stock Exchange/Depository in electronic mode either at the e-mail ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, HTL shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents should be brought to the notice of HTL within reasonable time from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.

16. Electronic Payment Gateway for Net Banking Services: HTL may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with HTL. Client understands that HTL is only providing access to the electronic fund transfer facility provided by the banker of the Client through HTL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous

elements, frauds, and/or any incidental or consequential claims arising there out. Client undertakes not to make HTL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that HTL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank.

17. Internet/Wireless Technology based Trading facility:

17.1 HTL offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges including facilities for online application of IPO / FPO / NFO / Bond issues or any other issues of securities or services to apply/purchase/redeem/ sale/buyback or otherwise deal in the units of Mutual Funds (hereinafter referred to as "the Internet/wireless Trading system") through Exchange approved software. The Client can route its orders to HTL over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by HTL by complying with the formalities prescribed therefore.

17.2 Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as HTL may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of HTL.

17.3 The client understands and agrees that HTL has different product of the Internet Trading /Wireless Trading software which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, HTL shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.

17.4 Orders of Client subject to review by HTL: The Client agrees that the HTL may, on being suspicious of any of the transactions, review any order placed by a Client, which may cause delays in the processing of the Client's order or may result in rejection of such order.¶

18. Extra Ordinary Events and termination/suspension of trading facility:

HTL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond HTL's control resulting in non- execution, partial or incomplete execution of orders and the resulting financial loss, if any HTL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

19. Amendments to the terms and conditions: HTL reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client. In the event where the client has not objected to revised terms and conditions within 15 days of receiving the notification, the same shall be binding on the client.

20. Mutual Fund Service System Facility / BSE Star MF: Client is registered with HTL Broking and has executed Know Your Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as [Exchange]). In case client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund Transaction Facilities). Know Your Client details as submitted by the client



for the stock broking shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). Client shall read & understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which client choose to subscribe / redeem. Client further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy). Client is aware that he/she can transact directly with the AMC without recourse to Distributor's name at any time under the folio(s) tagged with the Distributor's name /broker code. The Client agrees and authorizes HTL as distributor of mutual funds to communicate on his/her behalf with the AMCs for financial and /or non-financial transactions including for receiving investment details from the AMC.

21. Parties agree that all claims, differences or disputes between them, arising out of or in relation to this mandatory and voluntary client / registration document, any dealings and transactions made subject to the Bye laws, Rules and Regulations of the Exchanges shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act, 1996 and the Byelaws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redressal mechanisms or to the investor protection schemes of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; transactions carried out; schemes, leagues or competition joined; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker or any third parties and to which the Byelaws, Rules and Regulations of the Exchange are not attracted and the Client understands and agrees that any application for invoking the arbitration/grievance redressal mechanisms or investor protection schemes of the Exchange in relation to any such dispute, claims or differences shall be liable to be dismissed.

ADDITIONAL - VOLUNTARY TERMS AND CONDITIONS (COMMODITY)

1. Setting up of Exposure Limits:

1.1 HTL may sanction trading limits to the Client based on the margin lying to the credit of the Client in the form of funds / securities / bank guarantees / fixed deposit receipts. HTL at its sole discretion may refuse to accept any security as collateral/margin. HTL shall from time to time publish a list of securities which would be acceptable as collateral / margin. In setting exposure limits for the Client, HTL shall be entitled to consider such factors as it may deem fit, including without limitation, the client's risk profile, risk appetite, loss bearing capacity, payment history, market volatility, risk management policy of HTL and such other factors or conditions which HTL may consider relevant for the purpose. HTL reserves liberty to vary the trading / exposure limits of the Client depending upon its risk assessment from time to time having regard to the changes in any of the factors or market conditions bearing on the risk profile of the Client.

1.2 Neither HTL, nor any affiliate of HTL nor their respective directors, officers, employees, agents shall in any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all legal fees and expenses) arising from any variation or reduction of exposure or turnover limits by HTL.

2. Client to have a Mobile connection: Client agrees to have a mobile connection as a pre-condition to opening & maintaining the a/c with HTL & undertakes to notify HTL promptly whenever he/she/it obtains a new mobile connection in replacement of a mobile previously notified to HTL.

3. Aggregation of open market positions of the Client by the Exchange: Client agrees that if the Exchange directs / advise HTL to reduce the exposure of the Client in any outstanding open interest in any contract,

because the market exposure of the client in the contract, individually, or taken together with that of related parties, exceeds the maximum allowable open position prescribed by the Exchange for an individual client or for all clients of HTL in the contract, HTL may square off the open market positions of the client in the contract as directed by the Exchange. client also agrees that, though HTL may on a best effort basis inform the client of the direction given by the Exchange, it is under no obligation to inform the client and/or obtain client's consent prior to squaring off the positions under this clause and all losses, if any, arising from such squaring off shall be to the account of the client. **4. Payment of Full Contract Value:** Client agrees to pay HTL for all open buy positions, excepting both side option contract

positions, full contract value less the free surplus fund of the client, if any, already with HTL, one day prior to the commencement of the tender period for the respective contract, and if that day is a bank holiday, on the day immediately preceding that day which is bank working day. If the Client makes a default in making payment as above, HTL at its discretion may square off all or part of the open positions of the Client and all and any losses arising thereout shall be to the account of the client.

5. Execute / Self / Wash / Match trades: Orders of buy and sell placed at such rates and within such time intervals / frequencies, and particularly in contracts considered illiquid, may be rejected or cancelled by HTL without prejudice to its other rights to impose penalty on the client and/or deregister the client. HTL may also report such instances to the Exchange or the Regulator for appropriate action at their end.

I/We hereby state & confirm that I have read & understood the terms & conditions as mentioned above & agree to abide by the same.

For Hindustan Tradecom Pvt. Ltd.

Authorized Signatory: _____

Designation:

Date:

(S17) ✓

Signature of Client



Policy on Freezing / Blocking Client Account

1. **Background:** SEBI vide circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and NSE Circular no NSE/INSP/61529 Dated April 08, 2024 regarding Framework for Trading Members to provide the facility of voluntary freezing/blocking of online access of the trading account to their clients.

It is pertinent to mention that:

- a. Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of the Trading Member.
 - b. The request for freezing/ blocking does not constitute request for marking the client's Unique Client Code (UCC) as inactive in the Exchange records
2. In view of the above the company has framed the following policy governing the outline of the modus operandi. In addition to branch trading the company is extending the facility of internet trading through browser based. Presently we will be providing the following method of communications through which the client may request for voluntary freezing/ blocking of the online access of trading account if any suspicious activity is observed in the trading account: -

a) Email from registered e-mail ID: A dedicated email ID **stoptrade@htplonline.com** has been opened where client can send their request for freezing/ blocking from their email ID registered with us. Clients are requested to send their freezing/ blocking request without any ambiguity along with UCC. Similarly for un-freezing/ un-blocking, clients are requested to send their request at the email ID **stoptrade@htplonline.com** from their registered email ID mentioning the same. Request sent for such freezing/ blocking and un-freezing/ un-blocking may not be addressed by the company if it is not sent from client's registered email ID or sent to any other email ID of the company.

b) SMS from registered mobile number: A dedicated mobile number 0141-4069600 has been assigned where client can send their request for freezing/ blocking from their mobile number registered with us. Clients are requested to send their freezing/ blocking request in the following manner:

- For freezing/ blocking type: **"BLOCK" FOLLOWED BY UCC WITHOUT SPACE** Example: if your UCC is A123 then message will be **"BLOCKA123"** and send it to 0141-4069600.
- For un-freezing/ un-blocking type: **"UNBLOCK FOLLOWED BY UCC WITHOUT SPACE"** Example: if your UCC is W114X100 then message will be **"UNBLOCKW114X100"** and send it to 0141-4069600.

Request sent for such freezing/ blocking and un-freezing/ un-blocking may not be addressed by the company if it is not sent from client's registered mobile number or sent to any other mobile number of the company.

3. The company shall take the following actions on the receipt of such request through any modes of communications for freezing/blocking of the online access of the trading account from the client:
- Verify whether request is received from the registered mobile number/e-mail ID of the client;
 - Freeze / block the online access of the client's trading account and simultaneously cancel all the pending orders, if any, of the said client.
 - Issue the acknowledgement to the registered email ID or mobile number of the client stating that the online access to the trading account has been frozen / blocked and all the pending orders in the client's trading account, if any, have been cancelled.
 - Details of open positions (if any) would also be communicated to registered email ID of the client along with contract expiry information within one hour from the freezing/blocking of the trading account.
 - The timelines for freezing/ blocking of the online access of the clients' trading account is as under:



Scenario	Timelines for issuing acknowledgement as well as freezing / blocking of the online access of the trading account.
Request received during the trading hours and within 15 minutes before the start of trading hour.	Within 15 minutes of receiving the request.
Request received after the trading hours and 15 minutes before the closure of trading hour.	Before the start of next trading session

4. The company shall maintain the appropriate records/logs including request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, and sent them to the clients for the time limit as prescribed by the Regulator.
5. **Re-enabling the client for online access of the trading account:** - The Trading Member shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.

POLICY FOR HANDLING GOOD TILL DATE ORDERS

Handling of GTD orders by HTPL:

- Order is accepted by system subject to availability of client's margin.
- All existing and new clients of HTPL who are eligible to trade in Equity Cash product & Derivatives can avail GTDt facility for order placement
- The facility of placing a GTDt order is available in Equity Cash product, Index futures, Index Options and E-Margin (MTF) product only. It is not available for other products like Margin, Spot, etc. As and when, GTDt orders are introduced in new segments the same shall be displayed through the HTPL website and subsequently updated in the policy
- GTD Pending order will be rejected by exchange if price is out of DPR range of exchange
- Such orders will be active till DATE mentioned while placing the order/ till execution whichever earlier

(S18)



Signature of Client

Date _____



Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that *"no charges are payable for opening of demat accounts"*
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the

form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the



parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be

forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

ADDITIONAL RIGHT AND OBLIGATIONS

32. "HTPL shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI". Accordingly, SEBI Circular No.CIR/MIRSD/16/2011 dated August 22, 2011 stands amended to this extent.

(S19)



Signature of Client



Annexure A

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

(S20)



Signature of Client

Date :

Date:
ANNEXURE-A

DEMAT DEBIT AND PLEDGE INSTRUCTION

Sr. No.	PURPOSE	SIGNATURE OF THE CLIENT		
		First/Sole Holder	Second Holder	Third Holder
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	(S22) ✓		
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	(S23) ✓		
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	(S24) ✓		
4	Tendering shares in open offers through Stock Exchange platforms	(S25) ✓		

HTPL DESIGNATED DEMAT ACCOUNT NUMBERS

EXCHANGE	NSE (CM ID: M51389)	BSE (CM ID: 6188)
Pool Account	12065000-00000926	12065000-00001005
Early Pay-in A/c	11000011-00018237	11000010-00021752
Client Collateral	12065000-00085889	
Pool A/c (SLB Segment)	12065000-00041547	
Early Pay-In (SLB)	11000023-00000976	
TM Pool Account	12065000-00111255	

	NAME	ADDRESS
First / Sole Holder (Trading Account Client)		
Second Holder		
Third Holder		
Demat Account No.	12065000-	

For HINDUSTAN TRADECOM PVT. LTD.

**Authorised Signatory
(HO purpose only)**



HINDUSTAN TRADECOM PVT. LTD.

FOR OFFICE USE ONLY

Demat A/c Allotted to the Client :

	Document verified with Originals	Client Interviewed By	In-Person Verification Done By
Name of Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

I/ We undertake that we have made the client aware of Policy and Procedures . tariff sheet and all the non-mandatory documents. I/We have also made the client aware of Rights and Obligations document(s), RDD and Guidance Note I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the Policy & Procedures , Tariff sheet and all the non-mandatory documents would be duly intimated to the clients.

.....
Signature of the Authorised Signatory

Date.....

Seal/ Stamp of the Dp Official/ Stock Branch

ACKNOWLEDGEMENT

Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of KYC, RDD, Rights & obligations, Do s & Dont s, policies & procedures and all other documents as executed by me/us. I/We acknowledge that the other details related to my/our account are as under :

Trading Code.....

UCC/DP ID

My Email Id.....

Signature of Client

(S26) ✓



HINDUSTAN
TRADECOM

OUR SERVICES

- IPO FINANCE
- DERIVATIVE
- CURRENCY
- EQUITY
- DEPOSITORY
- MUTUAL FUND
- ALGO TRADING
-
- MTF
- SLBM
- IPO
- GLOBAL INVESTMENT
- LAS
- MOBILE TRADING APPLICATION

Member: NSE BSE DP-CDSL NCDEX MCX

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DOWNLOAD  SIKKA

